



Applicant: Habit
Application No.: 08/779,767
Filed: 7 January 1997

Attorney's Docket No.: ALLIA.143A
Page 1

For: COMPOUNDS, COMPOSITIONS AND METHODS FOR THE
ENDOCYTIC PRESENTATION OF IMMUNOSUPPRESSIVE FACTORS

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL-ENTITY STATUS

I, the undersigned, do hereby declare that:

☒ I am an official empowered to act on behalf of the nonprofit organization identified below:

UNIVERSITY OF TENNESSEE RESEARCH CORPORATION
415 Communications Building
Knoxville, Tennessee 37996-0344

☒ Tax exempt under Internal Revenue Service Code (26 U.S.C. §501(s) and §501(c) (3)).

I further declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees in the United States Patent and Trademark Office regarding the invention described in the patent or application identified above.

The individual, concern or organization identified above has not assigned, granted, conveyed or licensed, and is under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small-entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Ann J. Roberson

TITLE OF PERSON: President

University of Tennessee Research Corporation
415 Communications Building
Knoxville, Tennessee 37996-0344

SIGNATURE: *Ann J. Roberson* DATE: 3-27-97

DECLARATION - USA PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name;

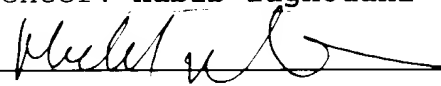
I believe I am an original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled **COMPOUNDS, COMPOSITIONS AND METHODS FOR THE ENDOCYTIC PRESENTATION OF IMMUNOSUPPRESSIVE FACTORS**; the specification of which was filed on **January 7, 1997** as Application Serial No. **08/779,767**.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above;

I acknowledge the duty to disclose to the U.S. Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56;

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful, false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of first inventor: **Habib Zaghouani**

Inventor's signature 

Date 03/12/1997

Residence: **Knoxville, TN**

Citizenship: **Tunsia**

Post Office Address: **1408 Knightsbridge Drive, Knoxville, TN 37922**

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Direct Telephone Calls To:
Ned A. Israelsen

ASSIGNMENT

IN CONSIDERATION of One Dollar (\$1.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, I, the undersigned, Habib Zaghouni, residing at 1408 Knightsbridge Drive, Knoxville, TN 37922, intending to be legally bound;

HEREBY sell, assign and transfer to The University of Tennessee Research Corporation (UTRC), a corporation of Tennessee having a place of business at 415 Communications Building, Knoxville, Tennessee 37996-0344, its successors, assigns and legal representatives, the entire right, title and interest for the United States and all foreign countries, in and to any and all improvements which are disclosed in the application for United States Letters Patent which has been executed by the undersigned concurrently herewith, and which is entitled

COMPOUNDS, COMPOSITIONS AND METHODS FOR THE ENDOCYTIC PRESENTATION OF IMMUNOSUPPRESSIVE FACTORS

and in and to said application and all divisional, continuation, substitute, renewal, reissue, and other applications for Letters Patent which have been or shall be filed in the United States and all foreign countries on any of said improvements, including the right to claim in other countries the right of priority of any of said applications under the (Paris) International Convention; and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said improvements;

AGREE THAT said Assignee may apply for and receive Letters Patent for said improvements in its own name, and that when requested, without charge to but at the legal expense of said Assignee, its successors, assigns and legal representatives, to carry out in good faith the intent and purpose of this Assignment, the undersigned will execute all divisional, continuation, substitute, renewal, reissue, and all other patent applications on any and all said improvements, execute all rightful oaths, Assignments, Powers of Attorney and other papers, communicate to said Assignee, its successors, assigns and all legal representatives, all facts known to the undersigned relating to said improvements and the history thereof and generally do everything possible which said Assignee, its successors, assigns and legal representatives shall consider desirable for aiding in securing and maintaining proper patent protection for said improvements and for vesting title to said improvements and all applications for patents and all patents on said improvements, in said Assignee, its successors, assigns and legal representatives;

COVENANT WITH said Assignee, its successors, assigns and legal representatives that no Assignment, grant, mortgage, license or other Agreement affecting the rights and property herein conveyed have been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned; and

AUTHORIZE Assignee, its employees, its successors, assigns and all legal representatives to enter in the blank spaces provided below the Serial Number an filing date of the United States Patent Application to which this document applies, when that information becomes known.

Patent Application Serial Number: 08/779,767

Patent Application Filing Date: January 7, 1997

Full name of inventor:

Inventor's Signature: Habib Z Date: 3/12/97
Resident: 1408 Knightsbridge Drive, Knoxville, TN
Post Office Address: _____
Citizenship: Tunisia

State of Tennessee
County of Knox

This 12th day of March, 1997, before me, a Notary Public in and for the County and State aforesaid, Habib Zaghouani appeared before me personally known to be the same person whose name is subscribed to the foregoing instrument, and acknowledged that he executed said instrument as a free and voluntary act and for the uses and purposes therein expressed.

WITNESS my hand and seal the day and year last above given.

Jeanette O. Snider
Notary Public

My Commission Expires: 7-13-97

SEAL